

Grantee Handbook and Program Application Guidance

**Steven Hennessee
Transit Project Manager**

**Kathy Leidich
Transit Project Manager**

Grantee Handbook and Program Application Guidance

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Grant Program Calendar

Grantee Application Assistance	September – January
Transit Development Plan Updates Due	December 1
Grant Application Period (Except FTA 5303)	December 1 - February 1
Review, Analysis & Evaluation of Applications	February – March
Development of Draft SYIP	March
5303 Grant Applications Due	May 1
Draft SYIP Hearings	April – May
Certification of Local Matching Funds	May
CTB Approval of Final SYIP	June
Execution of Grant Agreements	State Programs - July 1 Federal Programs – Oct. 1



Accessing the Grantee Handbook and Guidance

- ❑ The Grantee Handbook and Program Application Guidance documents can be found at:
<https://olga.drpt.virginia.gov/news.aspx>
 - ❑ The application for new users can be found at:
<https://olga.drpt.virginia.gov/gettingstarted.aspx>
- Commonwealth of Virginia Travel Guidelines are posted on the DRPT website and on the OLGA website – check for updates



Important Reminders

- ❑ Review notification requirement to DRPT on FTA Funding (FTA 5307)(Pg. 6)
- ❑ Development and Execution of Grant Agreements (Pg. 8)
- ❑ Grantee Reimbursements and Supporting Documentation (Pg. 10)
- ❑ Grant Close-out and Deobligation (Pg. 16)



Grantee Handbook Reminders

- ❑ Asset Inventory - Annual June 30th cutoff for needs analysis
 - If no changes, update mileage as of June 30th
- ❑ Capital Budgeting – Due by February 1st of each year
- ❑ Implied Letter of No Prejudice – July 1st of current year allocation until project agreement is executed
- ❑ No Longer Allowed to Move Funds to New Line Item during the year
- ❑ Grantees must submit invoices quarterly for operating expenses, at a minimum
- ❑ Capital projects may be invoiced only once per calendar month

Grantee Handbook Reminders

- ❑ Final Eligibility Operating Expenses (Pg. 13)
 - Submit financial system report or other supporting documentation with Final Eligibility Form
 - Provide reconciliation from financial system report to total operating expenses on final eligibility form
- ❑ Remaining operating funds deobligated if the Final Eligibility Form is not received by DRPT within 180 calendar days of the end of the grantee's fiscal year.
- ❑ Final Eligibility Form will still be required to be submitted to DRPT prior to any future DRPT payments being made to the grantee

Final Eligibility Forms

- ❑ Form has been restructured to show gross operating expenses less deductions such as depreciation, expenses funded by other DRPT programs, etc.
- ❑ Ensure the net amount above is spread to the remaining expense lines (FTM, Administration, and Ineligible). For example, if an amount is deducted from total operating expenses that is an administrative expense, this amount should not be included on the Total Expenses Incurred for Administration line
- ❑ Comments on the new format and instructions
- ❑ Currently the Final Eligibility is not part of the on-line reimbursement forms

Total Operating Expenses

- ❑ Report total operating expenses. Provide financial statements or financial system reports and “crosswalk” if necessary to support total operating expenses before deductions
- ❑ Deduct items for depreciation, CMAQ and related state match, expenses reimbursed through other DRPT programs, funds received from MPOs, and items not attributable to the operation of public transportation services
- ❑ Maintain the supporting documentation. There have been many compliance review findings related to grantees not being able to support amounts reported on the final eligibility forms

FTM Expenses

- ❑ Report Fuels, Lubricants, Tires and Maintenance Parts and Supplies (FTM) expenses. Provide financial statements or financial system reports and “crosswalk” if necessary to support total FTM expenses
- ❑ Remember that FTM expenses are only eligible if consumed. Items purchased and included in inventory are not eligible
- ❑ The Final Eligibility Form instructions include a list of allowable FTM expenses. Is there anything that needs to be added/deleted/changed on this list?

Administration Expenses

- ❑ Report total expenses incurred for administration. Provide financial statements or financial system reports and “crosswalk” if necessary to support total administration expenses
- ❑ The Final Eligibility Form instructions include a list of allowable Administration expenses. Is there anything that needs to be added/deleted/changed on this list?

Ineligible Expenses

- ❑ Total expenses incurred in all other categories (ineligible expenses) is a calculated cell
- ❑ The majority of this amount should be made up of drivers and mechanics salaries and fringe benefits. If it is not, you may want to analyze further and make any necessary corrections

Revenues Received from Operations

- ❑ Report total revenues received from operations. Provide financial statements or financial system reports and “crosswalk” if necessary to support the total reported
- ❑ Advertising revenues should not be included
- ❑ Insurance proceeds can be reported several ways so contact your program administrator for guidance

Total Other State Funds

- Report total other state funds that supported operating expenses. Provide financial statements or financial system reports and “crosswalk” if necessary to support the total reported
- Do not include state operating assistance
- Do not include state revenue from other DRPT programs or related to the state match for CMAQ as these expenses have been deducted

Total Federal Funds

- ❑ Report total federal funds that supported operating expenses. Provide financial statements or financial system reports and “crosswalk” if necessary to support the total reported
- ❑ Do not include federal revenue from other DRPT programs (FTA JARC, New Freedom, 5304 planning funds), CMAQ funds, or federal funds received from MPOs to support operations as these expenses have been deducted

Purpose of Program Application Guidance

- ❑ Support Item 449.E of the 2008 Appropriations Act – incorporate principles of local maintenance of effort, transit sustainability, public benefit, and asset management into all public transportation programs
- ❑ Improve application process by providing information on program eligibility requirements, funding, evaluation process and application procedure
- ❑ Inform stakeholders of changes to programs
- ❑ Document the grant application process to improve transparency, efficiency and effectiveness

Overview of Grant Programs

- ❑ Grant funds administered by DRPT support capital, operating or planning expenses
- ❑ **Capital expenses** - long-term assets such as vehicles, transit facilities and infrastructure, machinery or heavy equipment
- ❑ **Operating expenses** - transit operations, maintenance, repairs, and administrative costs, TDM program operations
- ❑ **Planning expenses** - studies of public transportation and TDM program improvements such as service expansions

Overview of Grant Programs

Federal Programs

- ❑ FTA Section 5303 Metropolitan Planning
- ❑ FTA Section 5304 Statewide Planning
- ❑ FTA Section 5307 Small Urban Areas Program
- ❑ FTA Section 5310 Transportation for Elderly Persons and Persons with Disabilities
- ❑ FTA Section 5311 Rural Transit
- ❑ FTA Section 5316 Jobs Access and Reverse Commute Program (JARC)
- ❑ FTA Section 5317 New Freedom Program

State Programs

- ❑ Operating Assistance
- ❑ Capital Assistance
- ❑ Demonstration Project Assistance
- ❑ Technical Assistance
- ❑ Public Transportation Intern Program
- ❑ TDM Operating Assistance
- ❑ Transportation Management Projects
- ❑ Senior Transportation Program



Program Application Guidance State Programs

- Operating Assistance
- Capital Assistance
- Demonstration Project Assistance
- Technical Assistance
- Public Transportation Intern Program
- TDM Operating Assistance
- Transportation Management Project Assistance
- Senior Transportation Program



Operating Assistance

- ❑ State match ratio – typically 35-50% of eligible expenses. Trend is continuing towards lower end of the range. Goal for FY14 is 35% match for eligible expenses
- ❑ No major changes for FY14
- ❑ Funding available for new transit service – application must address Transit Service Design Guidelines and planning requirements. Percentage adjustment made to certified expenses based upon increase in revenue miles/hours (no adjustment if less than 5%)



Capital Assistance

- ❑ State match ratio – varies, FY13 goal:
 - ❑ 80% for replacement rolling stock of non-federal share (buses and locomotives)
 - ❑ 80% for major mid-life overhauls of non-federal share
 - ❑ 50% for everything else

- ❑ Challenged by Administration to better align priorities and investments. Surface Transportation Plan calls for investment in state of good repair, expanding capacity in urban/small urban areas and new capacity in rural areas that are underserved or not served at all

- ❑ No major changes to evaluation criteria or eligible expenses



Demonstration Project Assistance

- ❑ Maximum state match ratio – 95%
- ❑ Eligible expenses – administrative, capital costs for equipment and materials, operating costs, planning
- ❑ Broad program, however, DRPT is continuing to focus on technology and safety and security investments. Expect significant competition. If oversubscribed, may contact grantees about willingness to be funded out of Capital Assistance program
- ❑ Program is for ‘cutting edge’ innovative projects



Technical Assistance

❑ Maximum state match ratio – 50%

❑ Eligible expenses:

- Capital and/or Operating Financial Plans
- Comprehensive Operations Analysis
- Management and Performance Evaluations
- Procurement Reviews
- Strategic Plans
- Transportation Demand Management Plans
- Public Transportation or Commuter Assistance Related Services
- Equipment Purchases
- Industry Peer Reviews
- Marketing Plans/Programs
- Project Assessments
- Feasibility Studies

❑ No major changes to evaluation criteria



Public Transportation Intern

- ❑ Maximum state match ratio – 95%. Grant amount calculated using hourly state rate times number of hours
- ❑ Area of emphasis: Bring in new professionals to the industry. Not to be used for filling vacant positions
- ❑ **Requirement** - intern must provide written report to DRPT documenting internship experience
- ❑ No major changes to evaluation criteria



TDM Operating Assistance

- ❑ Maximum state match ratio – 80%
- ❑ Annual work plans to support operating programs are to be submitted with the application
- ❑ Application should also be supported by Long Range TDM Plan
- ❑ DRPT also validates expenses and revenues, determines eligibility of expenses, reviews data submitted for the previous year and any audited financial statements



Transportation Management Project Assistance

- ❑ Maximum state match ratio – 80%
- ❑ Funds projects outside of normal TDM program operations
- ❑ Supports TDM projects that encourage the reduction of single occupant vehicle (SOV) travel
- ❑ Application should be supported by Long Range TDM Plan

Senior Transportation Program

- ❑ Supports operating expenses for new transportation services for adults 60 years of age and older. Objective is to increase quality and quantity of coordinated transportation services for older adults
- ❑ Maximum state match ratio – 95% (projects between \$5K - \$20K)
- ❑ Eligible expenses – voucher programs, volunteer driver, travel training, new and/or expanded coordinated transportation services for older adults
- ❑ Small program - \$100,000+
- ❑ No major changes to evaluation criteria

Program Application Guidance Federal Programs

- ❑ FTA Section 5303 - Metropolitan Planning
- ❑ FTA Section 5307 - Small Urban Areas Program
- ❑ FTA Section 5310 - Transportation for Elderly Persons and Persons with Disabilities
 - FTA Section 5317 - New Freedom Program
- ❑ FTA Section 5311 - Rural Areas
 - FTA Section 5316 - Jobs Access and Reverse Commute Program (JARC)



FTA Section 5303 Metropolitan Planning

- ❑ Maximum federal match ratio – 80%
- ❑ Maximum state match ratio – 10%
- ❑ Areas of emphasis - **Transit Development Plans, Comprehensive Operations Analysis** and **Long Term Vision Plans** for public transportation operators and **Long Term Plans** for commuter assistance agencies
- ❑ No major changes to evaluation criteria
- ❑ Have implemented new program guidance



FTA Section 5310 Transportation for Elderly Persons and Persons with Disabilities

- Maximum federal match ratio – 80%
- Focus is on vehicle purchases
- No major changes to evaluation criteria

FTA 5317 New Freedom

- ❑ Maximum federal match ratio - 50% for operating assistance projects. 80% for capital equipment projects and capital planning/mobility projects
- ❑ Maximum state match ratio – 95% for non-federal share for operating and capital
- ❑ Emphasis areas:
 - **First Priority** - Operating assistance to current Section 5310/5311 recipients.
 - **Second Priority** - Capital projects for existing systems. Prioritized as follows:
 - Replacement of worn-out or unsafe revenue vehicles
 - Purchase of additional vehicles to meet demonstrated capacity problems on current routes
 - Purchase of vehicles for the expansion of existing services
 - Purchase of miscellaneous capital equipment
 - **Third Priority** - Operating and capital for new rural systems
- ❑ Evaluation criteria: operating expenses evaluated against same criteria as state Operating Assistance program. Capital expenses evaluated against same criteria as state Capital Assistance program
- ❑ **MAP-21 Change: New Freedom will fall under FTA 5310**

FTA 5311 Rural Areas

- ❑ Maximum federal match ratio – 50% of net operating expenses. 80% of eligible capital expenses after operating costs are funded
- ❑ Evaluation criteria – operating expenses evaluated against same criteria as state Operating Assistance program. Capital expenses evaluated against same criteria as state Capital Assistance program

FTA 5316 JARC

- ❑ Maximum federal match ratio – 50% for operating assistance projects. 80% for capital equipment projects and capital planning/mobility projects
- ❑ Historically, all funds have gone towards operating
- ❑ Evaluation criteria - operating expenses evaluated against same criteria as state Operating Assistance program
- ❑ MAP-21 Change: JARC will fall under FTA 5311

Top 10 Ways the Application Process is made easier

- Drop-down menus on forms
- Help Documentation
- Lists of Eligible/Ineligible Expenses
- Appendices and Sample Documents
- Grantee Handbook
- Application Guidance Document
- Streamlined Forms
- Staff Support
- Save early and often
- Print Screen before Submission

Supporting Information

- Budget Crosswalks
- TDP Update
- Complete/Robust Narratives/Program Descriptions
- Appropriate and reasonable Milestone Dates
- Any Additional Information that makes the case for funding your program

Questions?